

REQUEST FOR PROPOSALS

The City of Las Vegas, New Mexico will open Sealed Proposals at 2:00 p.m., April 16, 2015, at the City Council Chambers, 1700 North Grand Avenue, Las Vegas, New Mexico, or other designated area at the City Offices; ON THE FOLLOWING:

2015, 2016, 2017 ANNUAL AUDIT SERVICES

Proposal Forms and Specifications may be obtained from the following location:


1700 N GRAND AVE
LAS VEGAS, NM 87701

Mailed proposals should be addressed to the City Clerk, 1700 N. Grand Ave., Las Vegas, New Mexico 87701; with the envelope marked: 2015, 2016, 2017 ANNUAL AUDIT SERVICES Opening No. 2015-28; on the lower left-hand corner of the submitted envelope. It shall be the responsibility of the Offeror to see that their proposal is delivered to the **City Clerk** by the date and time set for the proposal request. If the mail or delivery of proposal request is delayed beyond the opening date and time, proposal thus delayed will not be considered. Proposals will be reviewed at a later date with possible negotiations to follow.

The City of Las Vegas reserves the right to reject any/or all proposals submitted.

CITY OF LAS VEGAS,


ELMER J. MARTINEZ, CITY MANAGER


CASANDRA FRESQUEZ, CITY CLERK


ANN M. GALLEGOS, FINANCE DIRECTOR


JUNE TAFUYA-CORDOVA, PURCHASING OFFICER

Opening No. 2015-28

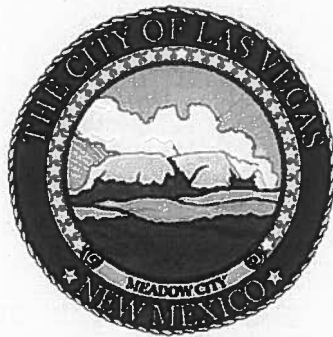
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Date: April 1, 2015

Date: April 1, 2015

City of Las Vegas



Request for Proposals
For
2015-2016-2017
Annual Audit Services
RFP No. 2015-28

1. INTRODUCTION

The City of Las Vegas is requesting proposals for Independent Public Accountants (IPAs) to perform the annual financial and compliance audit of the Agency's financial statements for the fiscal years ending June 30, 2015, 2016 and 2017, Pursuant to the Audit Act, Section 12-6-3 (A) NMSA 1978:

The financial affairs of every agency shall be thoroughly examined and audited each year by the State Auditor and personnel of his office designated by him or by independent auditors approved by him. The audits shall be conducted in accordance with generally accepted auditing standards.

The City invites audit firms approved by the NM Office of the State Auditor (offerors) to submit proposals in accordance with the outline and specifications contained in this Request for Proposals (RFP). This RFP contains a specific request for information. In responding to this RFP, offerors are encouraged to provide any additional information they believe is relevant. This RFP is being issued pursuant to the New Mexico Procurement Code and shall be governed by its provisions.

2. PROPOSAL FORMAT

Proposals must at a minimum contain the following information in the order listed, unless marked optional:

- a) Letter of Transmittal
- b) Table of Contents
- c) Proposal Summary (optional)
- d) Response to Mandatory Specifications
- e) Completed Cost Response Form, consisting of the following cost breakdown:

Financial Statement Audit	\$ _____
Federal Single Audit	\$ _____
Assist in preparation and printing of financial statement	\$ _____
Component unit	\$ _____
Other non-audit services-EZ audit	\$ _____
Gross receipts tax	\$ _____

Total Compensation \$ _____

- f) Response to Agency Terms and Conditions (Acceptance of Conditions forms).
- g) Offeror's Additional Terms and Conditions (optional)
- h) Other Supporting Material (optional)

3. **SCOPE OF WORK** (Include in Paragraph 25 any expansion of scope)

A. The Contractor shall conduct a financial and compliance audit of the following applicable statements and schedules of the Agency for the period from **July 1, 2014 through June 30, 2015**:

- (1) Basic Financial Statements consisting of the government-wide financial statements, fund financial statements, budgetary comparison statements for the general fund and major special revenue funds (GASB 34, footnote 53), and the notes to the financial statements;
- (2) Required supplemental information (RSI), if applicable, consisting of budgetary comparison schedules for the general fund and major special revenue fund data presented on a fund, organization, or program structure basis because the budgetary information is not available on the GAAP fund structure basis for those funds (*GASB Statement No. 41, Budgetary Comparison Schedules—Perspective Differences an amendment of GASB Statement No. 34*) must be audited and included in the auditor's opinion (AAG-SLV 14.52);
- (3) Supplemental Information (SI) that must be audited and included in the auditor's opinion (AAG-SLV 14.52), if applicable, consisting of:
 - (a) Component unit fund financial statements and related combining statements (if there are no separately issued financial statements on the component unit per AAG-SLV 3.20);
 - (b) Combining financial statements;
 - (c) Individual fund budget comparison statements for remaining funds that have an adopted budget, including proprietary funds, that did not appear as basic financial statement budget comparisons for the general fund, major special revenue funds or as RSI as described above; and
 - (d) Remaining supplemental information on schedules as required by NMAC Section 2.2.2.10.A(2)(f).

B. The contractor shall apply certain limited procedures to the following required supplemental information (RSI), if applicable, and report deficiencies in or the omission of required information in accordance with the requirements of

AU-C 730.05 to 730.09:

- (1) The Management Discussion and Analysis (MD&A);
 - (2) RSI data required by Statements 25, 27, 43 and 45 regarding pension plans and post-employment healthcare plans administered by defined benefit pension plans; and
 - (3) Schedules derived from asset management systems (GASB 34, paragraphs 132 to 133).
- C. The audit shall be conducted in accordance with auditing standards generally accepted in the United States of America, *Government Auditing Standards*, OMB Circular A-133, and *Requirements for Contracting and Conducting Governmental Audits* (NMAC Section 2.2.2.1, et seq.).

3-A. ADDITIONAL OBJECTIVES AND SCOPE OF SERVICES FOR HOUSING AUTHORITY

- (1) The objective of the audit is to provide an opinion on the financial statements taken as a whole. The audit must meet the requirements of the HUD Audit Guide, Single Audit Act of 1996, Guidelines on Reporting and Attestation Requirements of Uniform Financial Reporting Standards (UFRS), GASB statements #33 and # 34 and Federal OMB Circular A-133, and literature which may amend or supersede these requirements.
- (2) The audit will be a financial and compliance audit. The audit of the Authority's financial records must be made in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States. The audited financial statements must be prepared in conformity with Generally Accepted Accounting Principles (GAAP).
- (3) An entrance conference will be held between the audit firm and City's staff as soon as practicable after the execution of the audit contract. The conference will include review of policies and procedures, a discussion of audit issues, audit staffing, staffing, scheduling, work papers, and other concerns of either party. At this conference, the audit firm shall provide check lists of materials and data required for the audit.
- (4) Regarding Housing Authority's Audit: the audit fieldwork should be completed by November 30th of each year, and the statements must be ready for distribution by December 1st of the calendar year following the audit year. The audited FDS submission shall be

completed by December 31st of the calendar year following the audit year.

- (5) Communication with the City on the status of the audit during and after the fieldwork is required. The audit manager shall provide weekly progress reports to the Finance Director. These progress reports will include any issues such as proposed audit adjustments and compliance comments that arise during the course of the audit. The audit firm will immediately advise the Finance Director of proposed audit findings.
- (6) Proposed audit adjustments, compliance comments and recommendations for improvement will be provided to management in final form within five days of the notation and must be resolved with management prior to close of the fieldwork.
- (7) The audit staff assigned to this contract will be consistent throughout the audit so that information does not need to be provided repeatedly.
- (8) Accompanying the financial statements, the Auditor will submit a Management Letter of Comments and Recommendations, if applicable, for improvement of program and financial management per the Auditor's opinion after examining the City's systems.
- (9) The management letter, if any, will provide sufficient background, detail and documentation of fact to support each finding. The City expects the management letter will incorporate the response to any finding.
- (10) The Auditor shall submit an audit report, which shall comply with the applicable reporting standards as contained in the publications aforementioned.
- (11) The auditor in charge will conduct an exit conference with the Finance Director and staff. At the exit conference, findings and recommendations regarding compliance and internal control shall be discussed. The Finance Director or a designee shall have the opportunity to respond, orally or in writing, to the findings. Any such written responses shall be included in the audit report. Additionally, the auditor in charge shall present the Audit Report to the Governing Body/Board of Commissioners.

2. DELIVERY AND REPRODUCTION

A. In order to meet the delivery terms of this Contract, the Contractor shall deliver the following documents to the State Auditor on or before **December 15, 2015** and in accordance with NMAC Section 2.2.2.9:

- (1) an organized, bound and paginated hard copy of the Agency's audit report for review;
- (2) a copy of the signed management representation letter provided to the IPA by

the Agency as required by AU-C580;

- (3) a Summary of Findings Form available at www.osanm.org; and
 - (4) a copy of the completed State Auditor Report Review Guide available at www.osanm.org;
- B. Reports postmarked by the Agency's due date will be considered received by the due date for purposes of NMAC Section 2.2.2.9. Unfinished or excessively deficient reports will not satisfy this requirement; such reports will be rejected and returned to the Contractor and the State Auditor may take action in accordance with NMAC Section 2.2.2.13.C. If the State Auditor does not receive copies of the engagement letter, management representation letter, summary of findings form and the completed Report Review Guide with the audit report or prior to submittal of the audit report, the State Auditor will not consider the report submitted to the State Auditor.
- C. As soon as the Contractor becomes aware that circumstances exist that will make the Agency's audit report late, the Contractor shall immediately provide written notification of the situation to the State Auditor. The notification shall include an explanation regarding why the audit report will be late, when the IPA expects to submit the report and a concurring signature by the Agency. The State Auditor shall also notify the Agency's oversight agency, but confidential information shall be omitted from that notification.
- D. Pursuant to NMAC Section 2.2.2.8.Q, the Contractor shall prepare a written and dated engagement letter that identifies the specific responsibilities of the Contractor and the Agency. The Contractor shall submit to the State Auditor an electronic copy of the signed and dated engagement letter and a list of client prepared documents with expected delivery dates within ten (10) days of the entrance conference.
- E. After its review of the audit report pursuant to NMAC Section 2.2.2.13, the State Auditor shall authorize the Contractor to print and submit the final audit report. Within five business days from the date of the authorization to print and submit the final audit report, the Contractor shall provide the State Auditor with TWO copies of the report and an electronic version of the audit report, in PDF format. After the State Auditor officially releases the audit report by issuance of a release letter, the Contractor shall deliver 25 copies of the audit report to the Agency. The Agency or IPA shall ensure that every member of the Agency's governing authority shall receive a copy of the report.
- F. The Agency, upon delivery of its audit report, shall submit the required copies of the data collection form, audit report and corrective action plan to the federal clearinghouse designated by the Office of Management and Budget and each federal awarding agency if the schedule of findings and questioned costs disclose audit findings directly related to federal awards.

3. MANDATORY SPECIFICATIONS

The failure of an offeror to meet mandatory specification will result in disqualification of the proposal.

- a) Offeror Experience
- b) On-Site Manager and Other on-Site Personnel
- c) Resumes
- d) External Quality Control Review
- e) Technical Plan
- f) Cost

4. EVALUATION OF PROPOSAL, RATING CRITERIA & AWARD

The City reserves the right to conduct discussions with responsible offerors who submit acceptable or potentially acceptable proposals. Proposals may be accepted and evaluated without such discussion.

The responsible offeror whose proposal is most advantageous to the City shall be selected to perform the services. Please see "Rating Criteria and Point Scale".

5. CONTRACT TERMS AND CONDITIONS

The contract used will be the State of New Mexico Audit Contract, a copy of which is attached.

- a) Scope of Work – As defined in the NM Audit Contract
- b) Delivery and Reproduction – As defined in the NM Audit Contract
- c) Compensation – As agreed to by the City and Contractor as approved by State Auditor
- d) Term – Effective on the date signed by the State Auditor and extending for a period of one year, subject to annual extensions, if agreed to and approved by the State Auditor, up to 3 years total.
- e) Termination, Breach and Remedies – As defined in the NM Audit Contract.
- f) Status of Contractor – The contractor and his agents and employees are independent contractors performing professional services for the City and are not employees of the City. The Contractor and his agents and employees shall not accrue leave, retirement, insurance, bonding, use of City vehicles, or any other benefits afforded to employees of the City (if any) by virtue of the contract.
- g) Assignment – The Contractor shall not assign or transfer any interest in the contract or assign any claims for money due or to become due under the contract.
- h) Subcontracting – As defined in the NM Audit Contract.

- i) Records and Audit – As defined in the NM Audit Contract.
- j) Release – As defined in the NM Audit Contract.
- k) Confidentiality – As defined in the NM Audit Contract.
- l) Product of Service - Copyright – As defined in the NM Audit Contract.
- m) Conflict of Interest – The Contractor shall warrant that he has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required under the contract. The contractor certifies that the requirements of the governmental conduct Act, Sections 10-16-1 through 10-16-18 NMSA 1978, regarding contracting with a public officer or state employee have been followed.
- n) Independence – As defined in the NM Audit Contract.
- o) Amendment – The contract shall not be altered or amended except by an instrument in writing executed by the parties and approved by the State Auditor. **The engagement letter and/ or any documentation included with the engagement letter shall not be interpreted to amend the contract.**
- p) Scope of Contract – As defined in the NM Audit Contract.
- q) Applicable Law – The contract shall be governed by the laws of the State of New Mexico.
- r) Agency Books and Records – As defined in the NM Audit Contract.
- s) Appropriations – As defined in the NM Audit Contract.
- t) Notice – As defined in the NM Audit Contract.
- u) Equal Opportunity Compliance – As defined in the NM Audit Contract.
- v) Working Papers – As defined in the NM Audit Contract.
- w) Engagement & Management Representation Letters – As defined in the NM Audit Contract.
- x) Designated on-site Staff – As defined in the NM Audit Contract.
- y) Other Provisions – As defined in the NM Audit Contract.

6. Protest

Any bidder, offeror or contractor who is aggrieved in connection with the procurement may protest to the Purchasing Department of the City. The protest shall be submitted in writing 15 calendar days after the fact or occurrence giving rise thereto.

7. ACCEPTANCE OF CONDITIONS

NOTICE: TO BE A VALID PROPOSAL, PROPOSAL MUST BE SIGNED BELOW
The undersigned certifies that he/she has read and understood the following general conditions and that the firm represented accepts the conditions and submits the attached proposal in full compliance with the General Proposal Conditions.

Name of Firm

Mailing Address of Firm

City, State and Zip Code

Telephone Number

Fax Number

Signature of Owner, Partner, Officer or Authorized Agent

Date

8. TERM

The term of this agreement shall be for a period of one (1) year, subject to annual extensions, if agreed to and approved by the State Auditor, up to 3 years total. Sixty (60) days prior to the end of each year of the agreement, City of Las Vegas may, without stating a cause, give notice of its intention to terminate the contract.

a. Termination

This Contract may be terminated by either of the parties hereto upon written notice delivered to the other party at least ninety (90) days prior to the intended date of termination. The written notice referred herein need not set forth reasons for any such termination. By such termination neither party may nullify obligations already incurred prior to the date of termination. This notice requirement may be shortened only upon a written agreement by the two parties. However, should the Contractor default in the Contract, the City retains the right to terminate this agreement immediately.

b. Timelines

All work shall be performed in a timely manner, as requested.

c. Communication with the City of Las Vegas

The Contractor shall be required to periodically update the City of Las Vegas Governing Body of the status of any project.

d. Work Stoppage

The City of Las Vegas retains a unilateral right to order, in writing, temporary stoppage of the work or delay of the performance of the work.

e. Assignability

The Contractor shall not assign, sublet or transfer their interests in this Contract without the written agreement of the City. If such an assignment is allowed, the Contractor shall be ultimately responsible to insure that the work is performed satisfactorily.

f. Scope of Contract

This Contract incorporates all the agreements, covenants, and understandings between the parties concerning the subject matter of this Contract, and all such agreements, covenants, or understandings, oral or written, of the parties or their agents shall not be valid or enforceable, unless embodied into this Contract.

g. Amendment

This Contract shall not be altered, changed or amended except by prior written agreement of the parties and with the prior written approval of the State Auditor. Any amendments to this Contract shall comply with the Procurement Code, Sections 13-1-28 through 13-1- 199, NMSA 1978.

h. Professional Standards

The Contractor agrees to abide by and perform its duties in accordance with the ethics of its profession in all federal, state laws and municipal ordinances & regulations regulating the practice of engineering.

i. Authority to Bind the City

The Contractor shall not have the authority to enter into any contracts binding upon the City or to create any obligations on the part of the City, except such as shall be specifically authorized by the City's representative, acting pursuant to authority granted by the City.

j. Notices

Any notice required to be given under this Contract shall be deemed sufficient if given in writing by mail or hand-delivery to the City Clerk's office or by mail or hand delivery to the Consultant's Office.

k. Subject to other Documents

This Contract is subject to the terms and conditions of the statutes of the State of New Mexico and Ordinances of the City of Las Vegas, New Mexico as they exist at the time that this Contract is signed or as they are hereafter amended. All such statutes and ordinances are incorporated by reference into this agreement.

l. Conflict of Interest

The Contractor warrants that it presently has no interest and will not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services under this Contract.

m. Method of Payment

The Contractor shall submit itemized monthly statements of work performed as outlined herein. The City will then make payment by the 15th of the following month.

m. Binding Effect

This Contract shall be binding upon and shall insure to the benefit of the successors and assigns of the City and the Contractor.

o. Indemnification

The Contractor will indemnify, keep and hold harmless the City, its agents, officials, and employees, against all suits or claims that may be based on injury to persons or property that are a result of an error, omission, or negligent act of the Contractor or any person employed by or acting on behalf of Contractor.

p. Insurance

The Contractor must at all time hold errors and omissions liability insurance of at least \$1,000,000.00 and list the City of Las Vegas as an additional insured. Proof of compliance with this insurance requirement is to be provided to the City upon execution of this Contract.

STANDARD PROPOSAL CLAUSES

AWARDED PROPOSAL

Awarding of Proposal shall be made to the responsible Offeror whose Proposal best meets the specifications. The City of Las Vegas (City) reserves the right to reject any or all Proposals submitted.

TIMETABLE

Proposals pursuant to this request must be received at the City Clerk's Office at 1700 North Grand Avenue, Las Vegas, New Mexico, on or before: _____ 2:00pm; at which time all proposals received will be opened. The opening will occur at the City Council Chambers. Awarding of proposal is projected for: April, 2015 successful offeror will be notified by mail.

ENVELOPES

Sealed Proposal envelopes shall be clearly marked on the lower left-hand corner, identified by the Proposal name and opening number. Failure to comply with this requirement may result in the rejection of the submitted Proposal.

BRIBERY AND KICKBACK

The Procurement Code of New Mexico; (Section 13-1-28 through 13-1-199 N.M.S.A. 1978), impose a third degree felony penalty for bribery of a public official or public employee. In addition the New Mexico Criminal Statutes (Section 30-4-1 N.M.S.A. 1978), states that it is a third degree felony to commit offense of demanding or receiving a bribe by a public official or public employee. (Section 30-24-2 N.M.S.A. 1978), it is a fourth degree felony to commit the offense of soliciting or receiving illegal kickbacks. In addition, (Section 30-41-1 through 30-41-3 N.M.S.A. 1978), states that it is a fourth degree felony to commit the offense of offering or paying illegal kickbacks.

RESPONSIBILITY OF OFFEROR

At all times it shall be the responsibility of the Offeror to see that their Proposal is delivered to the City Clerk by the Date and Time scheduled for opening. If the mail or delivery of said proposal is delayed beyond the scheduled opening date and time set proposal, thus delayed will not be considered.

NON-COLLUSION

In signing their Proposal and Affidavit, the offeror certifies that he/she has not, either directly or indirectly entered into action of restraint of free competition, in the connection with the submitted Proposal.

CLARIFICATION OF PROPOSAL

Offeror requiring clarification or interpretation of the proposal specifications shall make a written request to the Department involved in this proposal request at least five (5) days prior to the scheduled proposal opening date; with a copy forwarded to the Finance Department. Any interpretations, correction, or changes (not part of the negotiation stage) of said proposal specifications shall be made by **"ADDENDUM"** only; including any Opening Date or time Change. Interpretations, corrections, or changes of said proposal made in any other manner (before opening and negotiation stage) will not be binding and offeror shall not rely upon such interpretations, corrections, and changes.

MODIFICATION OR WITHDRAWAL OF PROPOSAL

A Proposal may not be withdrawn or cancelled by the offeror following the scheduled opening date and time; the Offeror does so agree in submitting their Proposal. Prior to the schedule time and date of opening, proposals submitted early may be withdrawn, but may not be re- submitted.

APPLICATION OF PREFERENCE

Pursuant to (Section 13-1-21 and 13-1-22 N.M.S.A. 1978) any New Mexico resident business or resident manufacturer who wishes to receive the benefit of an "Application of Preference" must provide their Certification Number (issued by N.M. State Purchasing) with their proposal on the "OFFEROR INFORMATION/AFFIDAVIT" form.

FEDERAL TAX IDENTIFICATION NUMBER

Pursuant to IRS requirements, Offerors shall provide their Federal Tax ID Number if Offeror is incorporated. If Offeror is a sole proprietorship or partnership, then shall provide their Social Security Number.

FEDERAL TAX ID NUMBER: _____

SOCIAL SECURITY NUMBER: _____

NEW MEXICO TAX IDENTIFICATION NUMBER

Payment may be withheld under (Section 7-10-5 N.M.S.A. 1978) if you are subject to New Mexico Gross Receipts Tax and have not registered for a New Mexico (CRS) Tax Identification Number, contact the New Mexico Taxation & Revenue Department at (505) 827- 0700 for registering instructions.

New Mexico (CRS) Tax Identification Number: _____

CAMPAIGN CONTRIBUTION DISCLOSURE FORM

The Bidder shall submit a completed Campaign Contribution Disclosure Form Pursuant to Chapter 81, Laws of 2006.

SPECIAL NOTICE

Proposal will be opened and all submitted copies will be checked for accuracy of Department's specific amount of copies requested. Any price or other factors of the submitted proposals will not be read out loud to anyone in attendance at the proposal opening. All factors of the submitted proposal are not public record to other offerors or interested parties before the negotiation or awarding process.

The department involved in the proposal request will evaluate all proposals submitted according to the evaluation criteria indicated in the proposal specifications.

NEGOTIATION

Pursuant to the City of Las Vegas Purchasing rules and regulations (section 6.7) discussions or negotiations may be conducted with a responsible offeror who submits an acceptable or potentially acceptable proposal.

CONTRACT

When the City issues a Purchase Order in response to an awarded proposal, a binding contract is created, (unless a specific contract has been created).

TAXES:

Bidder must pay all applicable taxes.

NOTE:

If bidder is from outside the City of Las Vegas, the successful bidder must pay Gross Receipts Tax in the City of Las Vegas. Successful bidder will be required to obtain a business license from the City of Las Vegas prior to commencing any project within the City limits.

A. DATE OF RECEIPT OF PROPOSALS

Proposals pursuant to this Request for Proposals must be received at the location and before the date given in the advertisement.

B. ENVELOPES

Sealed proposal envelopes shall be clearly marked "2015-2016-2017 Annual Audit Services" on the outside of the envelope. This information shall be placed on the lower left-hand corner of the envelope. Failure to comply with this requirement shall result in rejection of the proposal.

C. AWARD OF CONTRACT

The award shall be made to the responsible offeror and/or offerors whose proposal is most advantageous to the City of Las Vegas, taking into consideration the evaluation factor set forth in this request for proposals. The proposal will be ranked by a committee. It is anticipated that ranking will be completed by April, 2015. After initial ranking of the proposals, at the City's sole option, the City may decide to interview the top two or three ranked offerors to develop final rankings or may consider the rankings based on the proposals as being final. The City will undertake negotiations with the top ranked offerors and will not negotiate with lower ranked offerors unless negotiations with higher ranked offerors have been unsuccessful and have been terminated.

D. BRIBERY AND KICKBACKS

As required by Section 13-1-191, N.M.S.A., 1978, it should be noted that it is a third degree felony under New Mexico law to commit the offense of bribery of the public officer or public employee (Section 30-4-1, N.M. S. A., 1978); it is a third degree felony to commit the offense of demanding or receiving a bribe by any public employee (Section 30-24- 2, N.M.S.A., 1978); it is a fourth degree felony to commit the offense of soliciting or receiving illegal kickbacks (Section 30-40-1, N.M.S.A., 1978); it is a fourth degree felony to commit the offense of offering or paying illegal kickbacks (Section 30-41-2, N.M.S.A., 1978).

E. RESPONSIBILITY OF OFFEROR

At all times, it shall be the responsibility of the offeror to insure that their proposal is delivered to the City by the date and time set for the opening of proposals. If mail or delivery of said proposal is delayed beyond the deadline set for the proposal opening, proposals thus delayed will not be considered.

F. COST OF PREPARING AND SUBMITTING PROPOSALS

The City will not pay for any costs associated with the preparation of submission.

G. NEW MEXICO TAX IDENTIFICATION NUMBER REQUIREMENT

New Mexico Tax Identification No.: _____

Federal Tax ID Number: _____

Social Security Number: _____

Payment may be withheld under Section 7-10-5, N.M.S.A., 1978, if you are subject to New Mexico Tax and have not registered for a New Mexico Tax Identification Number. Contact the New Mexico Taxation & Revenue Department at (505) 827-0700 for registering information.

OFFEROR INFORMATION

OFFEROR: _____

AUTHORIZED AGENT: _____

ADDRESS: _____

TELEPHONE NUMBER (_____) _____

FAX NUMBER (_____) _____

DELIVERY: _____

NEW MEXICO TAX IDENTIFICATION NUMBER (CRS): _____

NEW MEXICO CONTRACTORS LICENSE NO.: _____

SERVICE (S): **2015-2016-2017 ANNUAL AUDIT SERVICES**

THE CITY OF LAS VEGAS RESERVES THE RIGHT REJECT ANY OR ALL PROPOSALS AND TO
WAIVE ANY TECHNICAL IRREGULARITY IN THE FORM.

AFFIDAVIT FOR FILING WITH COMPETITIVE PROPOSAL

STATE OF _____ }

} ss

COUNTY OF _____ }

I, _____ of lawful age, being of first duly sworn in oath, say that I
am the agent authorized by the offerors to submit the attached proposal. Affiant further states
that the offeror has not been a party to any collusion among offerors in restraint of freedom of
competition by agreement to a fixed price or to refrain from submitting a proposal; or with any
city official or employee as to the quantity, quality or price in the prospective contract, or any
other terms of said prospective contract; or in any discussion between offerors with any City
official concerning an exchange of money or any other thing of value for special consideration in the
letting of a contract.

Signature

Subscribed and sworn to before me, this _____ day of _____, 20_____.

(SEAL)

Notary Public Signature

My Commission Expires: _____
CONTRACT No. _____ Expires on: _____

SECTION 00410
NON-COLLUSION AFFIDAVIT OF PRIME CONTRACTOR

State of New Mexico)

)
County of San Miguel)

I, _____ being first duly sworn, depose and say that:

- (1) He/She is the _____ of _____
the Bidder that has submitted the attached Bid.
- (2) He/She is fully informed respecting the preparation and contents of the
attached Bid and of all pertinent circumstances respecting such Bid.
- (3) Such Bid is genuine and is not a collusive or sham Bid.
- (4) Neither the said Bidder nor any of its partners, officers, owners, agents,
representatives, employees, or parties in interest, including this
affidavit, has in anyway colluded, conspired, connived or agreed,
directly or indirectly with any Bidder, firm, or person to submit a
collusive or sham Bid in connection with the Contract for which the
attached Bid has been submitted or to refrain from bidding in connection
with such contract, sought by agreement or collusion or
communication or conference with any other Bidder, firm or person to
fix the price or prices in the attached Bid or of any other Bidder, or
to fix any overhead, profit or cost element of the Bid price or the Bid
price of any other Bidder or to secure through any collusion, conspiracy
or conveyance or unlawful agreement any advantage against the owner
or any person interested in the proposal Contract; and
- (5) The price or prices quoted in the attached Bid are fair and are not
tainted by any collusion, conspiracy, conveyance or unlawful agreement
on the part of the Bidder or any of its agents, representatives,
owners, employees or parties of interest, including this affiant.

/s/_____

Subscribed and sworn before me this _____ day of _____, 2015.

NOTARY PUBLIC: _____ My Commission Expires: _____

CAMPAIGN CONTRIBUTION DISCLOSURE FORM

Pursuant to Chapter 81, Laws of 2006, any prospective contractor seeking to enter into a contract with any state agency or local public body must file this form with that state agency or local public body. The prospective contractor must disclose whether they, a family member or a representative of the prospective contractor has made a campaign contribution to an applicable public official of the state or a local public body during the two years prior to the date on which the contractor submits a proposal or, in the case of a sole source or small purchase contract, the two years prior to the date the contractor signs the contract, if the aggregate total of contributions given by the prospective contractor, a family member or a representative of the prospective contractor to the public official exceeds two hundred and fifty dollars (\$250) over the two year period.

THIS FORM MUST BE FILED BY ANY PROSPECTIVE CONTRACTOR WHETHER OR NOT THEY, THEIR FAMILY MEMBER, OR THEIR REPRESENTATIVE HAS MADE ANY CONTRIBUTIONS SUBJECT TO DISCLOSURE.

The following definitions apply:

"Applicable public official" means a person elected to an office or a person appointed to complete a term of an elected office, who has the authority to award or influence the award of the contract for which the prospective contractor is submitting a competitive sealed proposal or who has the authority to negotiate a sole source or small purchase contract that may be awarded without submission of a sealed competitive proposal.

"campaign Contribution" means a gift, subscription, loan, advance or deposit of money or other thing of value, including the estimated value of an in-kind contribution, that is made to or received by an applicable public official or any person authorized to raise, collect or expend contributions on that official's behalf for the purpose of electing the official to either statewide or local office. "Campaign Contribution" includes the payment of a debt incurred in an election campaign, but does not include the value of services provided without compensation or unreimbursed travel or other personal expenses of individuals who volunteer a portion or all of their time on behalf of a candidate or political committee, nor does it include the administrative or solicitation expenses of a political committee that are paid by an organization that sponsors the committee.

"Contract" means any agreement for the procurement of items of tangible personal property, services, professional services, or construction.

"Family member" means spouse, father, mother, child, father-in-law, mother-in-law, daughter-in-law or son-in-law.

"Pendency of the procurement process" means the time period commencing with the public notice of the request for proposals and ending with the award of the contract or the cancellation of the request for proposals.

"Person" means any corporation, partnership, individual, joint venture, association or any other private legal entity.

"Prospective contractor" means a person who is subject to the competitive sealed proposal process set forth in the Procurement Code or is not required to submit a competitive sealed proposal because that person qualifies for a sole source or a small purchase contract.

"Representative of a prospective contractor" means an officer or director of a corporation, a member or manager of a limited liability corporation, a partner of a partnership or a trustee of a trust of the prospective contractor.

DISCLOSURE OF CONTRIBUTIONS:

Contribution Made By: _____

Relation to Prospective Contractor:

Name of Applicable Public Official:

Date Contribution(s) Made:

Amount(s) of Contribution(s)

Nature of Contribution(s)

Purpose of Contribution(s)

(The above fields are unlimited in size)

Signature

Date

Title (position)

--OR--

NO CONTRIBUTIONS IN THE AGGREGATE TOTAL OVER TWO HUNDRED FIFTY DOLLARS (\$250) WERE MADE to an applicable public official by me, a family member or representative.

Signature

Date

Title (Position)

Name of Agency _____

Agency Contact _____ Phone# _____

Audit Firm Name _____ Date Completed _____

Evaluation Criteria		Points	Points Awarded
Section I. <u>Capability of Firm</u>			
A) The firm has the resources to perform the type and size of audit required. # of firm members _____ Total audit hours available _____		0-5	
B) External Quality Control Review (Peer Review) 1. Peer review results: Obtain most recent copy of the external quality control review report including letters of comments 2. Opinion received _____ Unqualified 10 Qualified 5		0-10	
If report is less than modified (adverse) STOP HERE. FIRM DOES NOT QUALIFY.		0-10	
3. Results of reference checks and agency's prior experience with firm (check should include timelines, planning technical expertise, etc.)		0-5	
C) Organization and completeness of proposal or bid for audit services.			
Section I Total			
Section II. <u>Work Requirement & Audit Approach</u>			
A) Auditor knowledge of agency needs and product to be delivered.		0-5	
B) Proposal or bid contains a sound technical plan and realistic estimate of time to complete the audit Start Date _____ End Date _____		0-5	
C) Plans for using agency staff, including internal auditors		0-3	
D) If the proposal or bid is for a multi-year contract, approach		0-2	
Section II Total			
Section III. <u>Technical Experience</u>			
A) Government audit experience of audit firm Name of on-site manager _____		0-20	
B) Audit Team Experience I. Specialization in your type of government (e.g., state agencies schools, hospitals, counties, cities, etc.), including component units (housing authorities, charter schools, foundations)		0-15	
C) Attendance at continuing professional seminars or meetings on auditing, accounting and regulations directly related to state and local government audits and the agency		0-5	
Section III Total			
Section IV. <u>Firm Strengths or Weaknesses</u>			
Specify		0-5	
Section IV Total			
TOTAL ALL SECTIONS			

Cost is to be evaluated **ONLY** upon completion of Part One of this two-part evaluation Form. Evaluate cost separately for the top **THREE** Choices **ONLY** from Part One. Add Parts One and Two in making your **FINAL** recommendation.

EVALUATION OF AUDITEES		
Note: For multi-year proposal add the total of each year together to arrive at one total for the combined three year period (ie: 3 yr proposal each years' fee is \$5000 the combined total is \$15,000 which would be used in the calculation below)	Max Points	Points Awarded
<p><u>Complete the Calculation</u></p> <p>Insert the lowest cost proposal (from all proposals received) and divide it by \$_____</p> <p>The cost of the proposal the agency is recommending \$_____</p> <p style="text-align: right;">x 10</p> <p style="text-align: right;">_____</p> <p style="text-align: right;">= Total Point Awarded</p>	10	

SCORE	Max Point	Points Awarded
Score Pert One: Bring forward score from pert one of Evaluation Form	90	
FINAL SCORE	100	

BREAKDOWN						
	1st Year Hours FYE	1st Year Cost FYE	2nd Year Hours FYE	2nd Year Cost FYE	3rd Year Hours FYE	3rd Year Cost
Financial Statement Audit Federal	_____	_____	_____	_____	_____	_____
Single Audit	_____	_____	_____	_____	_____	_____
Financial Statement Preparation	_____	_____	_____	_____	_____	_____
Other allowed non-audit services	_____	_____	_____	_____	_____	_____
Other (housing authorities, or other component units)	_____	_____	_____	_____	_____	_____
Subtotal Gross	_____	_____	_____	_____	_____	_____
Receipts Tax		_____		_____		_____
TOTAL		_____		_____		_____